

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant/Patent Owner : FILLIGENT LIMITED

Confirmation No. 5555

First Named Inventor : VON BORSTEL, Reid W.

RECEIVED

Patent Number : 7,104,265 B2

JAN 28 2010

Issue Date : September 12, 2008

OFFICE OF PETITIONS

Application Number : 10/803,409

Filing Date : March 17, 2004

Title : Filter Containing a Metal Phthalocyanine and a Polycationic Polymer

Attorney Docket Number: 12382-4

Customer No. : 23676

NOTIFICATION OF LOSS OF ENTITLEMENT TO SMALL ENTITY STATUS
(37 C.F.R. § 1.27(g)(2))

Box M. Fee
Commissioner for Patents
P O Box 1450
Alexandria VA 22313-1450

Sir:

FILLIGENT LIMITED asserts that it is the assignee of the entire right, title and interest in the above-identified patent by virtue of an assignment recorded with the United States Patent and Trademark Office on June 11, 2004 at Reel/Frame 014726/0971 and that small entity status was asserted in the above-identified patent application filed on March 17, 2004 by payment of the basic filing as a small entity (37 C.F.R. § 127(c)(3)).

Assignee hereby notifies the Office, in accordance with the requirements of 37 C.F.R. § 1.27(g)(2), that it no longer has status as a small entity.

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No fee is believed due in connection with this communication. If, however, any fee is owed, the Commissioner is hereby authorized to charge payment of the fee associated with this communication to Deposit Account No. 19-2090.

Respectfully submitted,

SHELDON MAK ROSE & ANDERSON PC

Date: January 7, 2010

By: /David A. Farah/
David A. Farah, M.D.
Practitioner of record under § 1.34(b)
Registration No. 38,134

David A. Farah, M.D.
SHELDON MAK ROSE & ANDERSON PC
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E-mail: davidf@usip.com

Electronic Acknowledgement Receipt

EFS ID:	6771670	RECEIVED
Application Number:	10803409	JAN 28 2010
International Application Number:		OFFICE OF PETITIONS
Confirmation Number:	5555	
Title of Invention:	FILTER CONTAINING A METAL PHTHALOCYANINE AND A POLYCATIONIC POLYMER	
First Named Inventor/Applicant Name:	Reid Von Borstel	
Correspondence Address:	David A. Farah, M.D. SHELDON & MAK PC 225 South Lake Avenue, 9th Floor - Pasadena CA 91101 US 6267964000 -	
Filer:	David A. Farah/Marillyn Paik	
Filer Authorized By:	David A. Farah	
Attorney Docket Number:	12382-4	
Receipt Date:	07-JAN-2010	
Filing Date:	17-MAR-2004	
Time Stamp:	18:41:56	
Application Type:	Utility under 35 USC 111(a)	

Payment information:

Submitted with Payment	no
File Listing:	

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Miscellaneous Incoming Letter	Notification_of_Loss_of_Entitlement_to_Small_Entity_Status.pdf	36783 e00e15237840fab8e18A9b1d1d1ce04d76e3e059d	no	2

Warnings:**Information:**

Total Files Size (in bytes):

36783

This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.

New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an International application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant/Patent Owner : FILLIGENT LIMITED

Confirmation No. 5555

First Named Inventor : VON BORSTEL, Reid W.

Patent Number : 7,104,265 B2

Issue Date : September 12, 2008

Application Number : 10/803,409

Filing Date : March 17, 2004

Title : Filter Containing a Metal Phthalocyanine and a Polycationic Polymer

Attorney Docket Number: 12382-4

Customer No. : 23676

RECEIVED
JAN 28 2010
OFFICE OF PETITIONS**NOTIFICATION OF ERROR IN PAYMENT OF FEE(S) AS A SMALL ENTITY
(37 C.F.R § 1.28(c))**

Box M. Fee
Commissioner for Patents
P O Box 1450
Alexandria VA 22313-1450

Sir:

Box M. Fee
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Before the payment of the fee listed below, a change occurred whereby small entity status could no longer be claimed for by the Patent Owner. The Office was notified of the change in small entity status through the Notification of Loss of Entitlement to Small Entity Status under 37 C.F.R. 1.27(g)(2) filed earlier on July 7, 2009. However, through a clerical

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Attorney Docket No. 12382-4

error, the maintenance fee was inadvertently paid under the prior small entity status on July 7, 2009. Therefore, the Patent Owner now submits the following additional fee as deficiency payment:

Itemization of the Fee(s) Erroneously Paid as Small Entity

Complete the following applicable item(s):

FEE(S) ERRONEOUSLY PAID AS A SMALL ENTITY	FEE ACTUALLY PAID AS A SMALL ENTITY	DEFICIENCY OWED*
<input type="checkbox"/> Filing fee paid on _____	\$ _____	\$ _____
<input type="checkbox"/> Fee for excess claims (over 20) paid on _____	\$ _____	\$ _____
<input type="checkbox"/> Fee for multiple claims paid on _____	\$ _____	\$ _____
<input type="checkbox"/> Search fee paid on _____	\$ _____	\$ _____
<input type="checkbox"/> Examination fee _____	\$ _____	\$ _____
<input type="checkbox"/> Extension of time fee paid on _____	\$ _____	\$ _____
<input type="checkbox"/> The issue fee paid on _____	\$ _____	\$ _____
<input checked="" type="checkbox"/> <u>FIRST</u> maintenance fee (first, second or third) paid on January 7, 2009	\$490.00	\$490.00
<input type="checkbox"/> Other: _____	\$ _____	\$ _____
Total deficiency owed:	\$490.00	

Payment of Deficiency

Authorization is hereby made to charge the additional amount of \$490.00 to Deposit Account No. 19-2090.

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The Commissioner is hereby authorized to charge any additional fees required by this paper or credit any overpayment in the manner authorized above.

Respectfully submitted,

Date: January 7, 2009

By: /David A. Farah/
David A. Farah, M.D.
Reg. No. 38,134

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Pasadena, California 91103-3842
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WARNING: "The deficiency owed for each previous fee erroneously paid as a small entity is the difference between the current fee amount (for other than a small entity) on the date the deficiency is paid in full and the amount of the previous erroneous (small entity) fee payment. The total deficiency payment owed is the sum of the individual deficiency owed amounts for each fee amount previously erroneously paid as a small entity. Where a fee paid in error as a small entity was subject to a fee decrease between the time the fee was paid in error and the time the deficiency is paid in full, the deficiency amount owed is equal to the amount (previously) paid in error. . . " 37 C.F.R. § 1.28(c)(2)(i).

Electronic Acknowledgement Receipt

EFS ID:	6772142	RECEIVED
Application Number:	10803409	JAN 28 2010
International Application Number:		OFFICE OF PETITIONS
Confirmation Number:	5555	
Title of Invention:	FILTER CONTAINING A METAL PHTHALOCYANINE AND A POLYCATIONIC POLYMER	
First Named Inventor/Applicant Name:	Reid Von Borstel	
Correspondence Address:	David A. Farah, M.D. SHELDON & MAK PC 225 South Lake Avenue, 9th Floor - Pasadena CA 91101 US 6267964000 -	
Filer:	David A. Farah/Marilyn Paik	
Filer Authorized By:	David A. Farah	
Attorney Docket Number:	12382-4	
Receipt Date:	07-JAN-2010	
Filing Date:	17-MAR-2004	
Time Stamp:	19:52:54	
Application Type:	Utility under 35 USC 111(a)	

Payment information:

Submitted with Payment	no
File Listing:	

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Miscellaneous Incoming Letter	Notification_of_Error_in_Payment_of_Fees_As_A_Small_Entity.pdf	49612 e242bb02a719329e2e7300f9a6d97e0b52f2b801	no	3
Warnings:					
Information:					
Total Files Size (in bytes):				49612	
<p>This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.</p> <p><u>New Applications Under 35 U.S.C. 111</u> If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</p> <p><u>National Stage of an International Application under 35 U.S.C. 371</u> If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.</p> <p><u>New International Application Filed with the USPTO as a Receiving Office</u> If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.</p>					